



01-21-04

PATENT
020420

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of

Seaman, et al.

Serial No.: 10/631,243

Filing Date: July 31, 2003

METHODS AND SYSTEMS FOR
PROCESSING AND MANAGING
CORPORATE ACTION INFORMATION

TRANSMITTAL LETTER FOR 37 C.F.R. § 3.73(b)
STATEMENT AND POWER OF ATTORNEY

January 20, 2004

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Dear Commissioner:

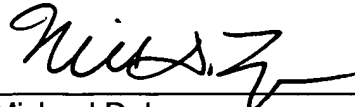
Enclosed please find a 37 C.F.R. § 3.73(b) Statement (the "Statement") for the captioned patent application. The Statement has been executed by an officer of the

Express Mail Number EU150829155US
Date of Deposit January 20, 2004

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the Commissioner for Patents, P. O. Box 1450, Alexandria, VA 22313-1450.

assignee of the entire right, title and interest in the captioned application as evidenced by the copy of the assignment attached thereto.

Respectfully submitted,

A handwritten signature in black ink, appearing to read "Michael D. Lazzara", written over a horizontal line.

Michael D. Lazzara
Reg. No. 41,142

Attorney for Applicants

KIRKPATRICK & LOCKHART LLP
Henry W. Oliver Building
535 Smithfield Street
Pittsburgh, Pennsylvania 15222-2312

Telephone: (412) 355-8994
Facsimile: (412) 355-6501
E-mail: mlazzara@kl.com

Customer No. 26285

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE
37 C.F.R. § 3.73(b) Statement

Applicants: Seaman et al.

For **METHODS AND SYSTEMS FOR PROCESSING AND MANAGING
CORPORATE ACTION INFORMATION**

Serial No.: 10/631,243

Filed: July 31, 2003

The PNC Financial Services Group, Inc. (a Pennsylvania corporation) is the assignee of the entire right, title and interest in the patent identified above by virtue of either:

A. ☒ An assignment from the inventor(s) of the **patent application** identified above. The assignment was recorded in the United States Patent and Trademark Office on _____ at Reel _____, Frame, or for which a copy thereof is attached.

OR

B. ☐ A chain of title from the inventor(s) of the patent application identified above to the current assignee as shown below:

1. From ____ To: ____

The document was recorded in the United States Patent and Trademark Office on _____ at Reel ___, Frame _____, or for which a copy thereof is attached.

☐ Copies of assignments or other documents in the chain of title are attached.

The undersigned (whose title is supplied below) is empowered to sign this statement on behalf of the assignee.

Power Of Attorney

I hereby revoke all previous powers of attorney, if any, and appoint the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith:

Tim S. Bedard,
Roberto Capriotti
George D. Dickos,
Thomas J. Edgington,
Christine R. Ethridge,
Kami Lammon-Hilinski
Jesse A. Hirshman,
Mark G. Knedeisen,
William E. Kuss,
James R. Kyper,
Michael D. Lazzara,

Reg. No. 53,978
Reg. No. 46,599
Reg. No. 30,048
Reg. No. 34,324
Reg. No. 30,557
Reg. No. 51,913
Reg. No. 40,016
Reg. No. 42,747
Reg. No. 41,919
Reg. No. 27,346
Reg. No. 41,142

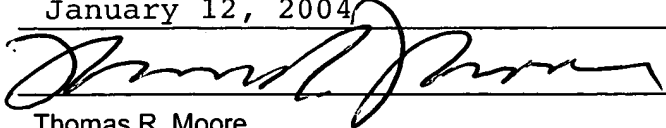
Mark R. Leslie,
Daniel R. Miller,
Franklin B. Molin,
Robert A. Muha,
Mark A. Nuzzo,
Jonathan C. Parks,
Bernard G. Pike
Robert V. Racunas, Jr.
David Schramm
Craig M. Waller,
Robert D. Yeager

Reg. No. 36,360
Reg. No. 52,030
Reg. No. 37,397
Reg. No. 44,249
Reg. No. 53,396
Reg. No. 40,120
Reg. No. 46,993
Reg. No. 43,027
Reg. No. 41,295
Reg. No. 54,771
Reg. No. 25,047

Please Direct All Correspondence to: Michael D. Lazzara, Esq.
Kirkpatrick & Lockhart, LLP
Henry W. Oliver Building
535 Smithfield Street
Pittsburgh, PA 15222-2312

Declaration

I hereby declare that my presentation of this paper constitutes a certification under 37 C.F.R § 10.18, which provides, in part, that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and that further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful statements may jeopardize the validity of the application and any patent issuing therefrom.

Date January 12, 2004
Signature 
Name Thomas R. Moore
Title Senior Counsel and Corporate Secretary

For: ☒ U.S. and/or ☒ Foreign Rights
 For: ☒ U.S. Application or
☐ U.S. Provisional Application
 For: ☐ U.S. Patent
 For: ☐ PCT Application
 By: Multiple Inventors

ASSIGNMENT OF INVENTION (MULTIPLE INVENTORS)

In consideration of the payment by ASSIGNEE to ASSIGNOR of the sum of One Dollar (\$1.00), the receipt of which is hereby acknowledged, and for other good and valuable consideration,

ASSIGNORS (Inventors):

Kimberly D. Seaman
 (type or print name of inventors)

20 Continental Drive
Phoenixville, PA 19460 USA
 Address Nationality

Melissa Go

131 Hancock Road
Warminster, PA 18974 USA

Virginia Kern

3111 Peregrine Court
Charlotte, NC 28269 USA

Louise Glass

Edmond, OK USA

hereby sells, assigns and transfers to

ASSIGNEE:

The PNC Financial Services Group, Inc..
(type or print name of ASSIGNEE)

249 Fifth Avenue
Address

(a Pennsylvania corporation)
Nationality

Pittsburgh, PA 15222

and the successors, assigns and legal representatives of the ASSIGNEE

(complete one of the following)

☒ the entire right, title and interest

☐ an undivided _____ percent (_____ %) interest for the United States and its territorial possessions

(check the following box, if foreign rights are also to be assigned)

☒ and in all foreign countries, including all rights to claim priority both in the United States and in all foreign countries, in and to any and all improvements which are disclosed in the invention entitled:
METHODS AND SYSTEMS FOR PROCESSING AND MANAGING CORPORATE ACTION INFORMATION

(check and complete (a), (b), (c), (d), (e), (f) or (g))

and which is found in

(a) ☐ U.S. patent application executed on even date herewith

(b) ☐ U.S. patent application executed on _____

(c) ☐ U.S. provisional application naming the above inventor(s) for the above-entitled invention

☐ Express mail label no.: _____

Mailed: _____

☐ To comply with 37 CFR 3.21 for recordal of this assignment, I, an ASSIGNOR signing below, hereby authorize and request my attorney to insert below the filing date and application number when they become known.

(d) ☒ U.S. application no.: 10/631,243 filed on July 31, 2003

(e) ☐ International application no. PCT / _____ / _____
filed on _____

(f) ☐ U.S. patent no. _____ issued _____

☐ A change of address to which correspondence is to be sent regarding patent maintenance fees is being sent separately.

(also check (g), if foreign application(s) is also being assigned)

- (g) ☒ and any legal equivalent thereof in a foreign country, including the right to claim priority both in the United States and in all foreign countries and, in and to, all Letters Patent to be obtained for said invention by the above application or any continuation, division, renewal, non-provisional, or substitute thereof, and as to letters patent any reissue or re-examination thereof.

ASSIGNOR hereby covenants that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this assignment;

ASSIGNOR further covenants that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said invention and said Letters Patent and legal equivalents as may be known and accessible to ASSIGNOR and will testify as to the same in any interference, litigation or proceeding related thereto and will promptly execute and deliver to ASSIGNEE or its legal representatives any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue and enforce said application, said invention and said Letters Patent and said equivalents thereof which may be necessary or desirable to carry out the purposes thereof.

IN WITNESS WHEREOF, We have hereunto set hand and seal this _____ Date of signing

WARNING: The date of signing must be the same as the date of execution of the application, if item (a) was checked above.

Kimberly D. Seaman
(type name of Inventor)

Kimberly D. Seaman 11/20/03
Signature of INVENTOR Date

Melissa Go
(type name of Inventor)

Melissa Go 11/20/03
Signature of INVENTOR Date

Virginia Kern
(type name of Inventor)

Virginia Kern 12/4/03
Signature of INVENTOR Date

Louise Glass
(type name of Inventor)

Signature of INVENTOR Date

**PLEASE SIGN
& DATE**

**PLEASE SIGN
& DATE**

☐ Notarization or Legalization Page Added.

NOTE: No witnessing, notarization or legalization is necessary. If the assignment is notarized or legalized, then it will only be prima facie evidence of execution. 35 USC 261. Use next page if notarization is desired.

For: ☒ U.S. and/or ☒ Foreign Rights
For: ☒ U.S. Application or
☐ U.S. Provisional Application
For: ☐ U.S. Patent
For: ☐ PCT Application
By: Multiple Inventors

ASSIGNMENT OF INVENTION (MULTIPLE INVENTORS)

In consideration of the payment by ASSIGNEE to ASSIGNOR of the sum of One Dollar (\$1.00), the receipt of which is hereby acknowledged, and for other good and valuable consideration,

ASSIGNORS (Inventors):

Kimberly D. Seaman
(type or print name of inventors)

20 Continental Drive
Phoenixville, PA 19460 USA
Address Nationality

Melissa Go

131 Hancock Road
Warminster, PA 18974 USA

Virginia Kern

3111 Peregrine Court
Charlotte, NC 28269 USA

Louise Glass

Edmond, OK USA

hereby sells, assigns and transfers to

ASSIGNEE:

The PNC Financial Services Group, Inc..
(type or print name of ASSIGNEE)

249 Fifth Avenue
Address

(a Pennsylvania corporation)
Nationality

Pittsburgh, PA 15222

and the successors, assigns and legal representatives of the ASSIGNEE

(complete one of the following)

- ☒ the entire right, title and interest
- ☐ an undivided _____ percent (_____ %) interest for the United States and its territorial possessions

(check the following box, if foreign rights are also to be assigned)

☒ and in all foreign countries, including all rights to claim priority both in the United States and in all foreign countries, in and to any and all improvements which are disclosed in the invention entitled:
METHODS AND SYSTEMS FOR PROCESSING AND MANAGING CORPORATE ACTION INFORMATION

(check and complete (a), (b), (c), (d), (e), (f) or (g))

and which is found in

- (a) ☐ U.S. patent application executed on even date herewith
- (b) ☐ U.S. patent application executed on _____
- (c) ☐ U.S. provisional application naming the above inventor(s) for the above-entitled invention

☐ Express mail label no.: _____

Mailed: _____

☐ To comply with 37 CFR 3.21 for recordal of this assignment, I, an ASSIGNOR signing below, hereby authorize and request my attorney to insert below the filing date and application number when they become known.

(d) ☒ U.S. application no.: 10/631,243 filed on July 31, 2003

(e) ☐ International application no. PCT / _____ / _____
filed on _____

(f) ☐ U.S. patent no. _____ issued _____

☐ A change of address to which correspondence is to be sent regarding patent maintenance fees is being sent separately.

(also check (g), if foreign application(s) is also being assigned)

- (g) ☒ and any legal equivalent thereof in a foreign country, including the right to claim priority both in the United States and in all foreign countries and, in and to, all Letters Patent to be obtained for said invention by the above application or any continuation, division, renewal, non-provisional, or substitute thereof, and as to letters patent any reissue or re-examination thereof.

ASSIGNOR hereby covenants that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this assignment;

ASSIGNOR further covenants that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said invention and said Letters Patent and legal equivalents as may be known and accessible to ASSIGNOR and will testify as to the same in any interference, litigation or proceeding related thereto and will promptly execute and deliver to ASSIGNEE or its legal representatives any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue and enforce said application, said invention and said Letters Patent and said equivalents thereof which may be necessary or desirable to carry out the purposes thereof.

IN WITNESS WHEREOF, We have hereunto set hand and seal this _____ Date of signing

WARNING: The date of signing must be the same as the date of execution of the application, if item (a) was checked above.

Kimberly D. Seaman
(type name of Inventor)

Signature of INVENTOR Date

Melissa Go
(type name of Inventor)

Signature of INVENTOR Date

Virginia Kern
(type name of Inventor)

Signature of INVENTOR Date

Louise Glass
(type name of Inventor)

Louise Glass 12/1/03
Signature of INVENTOR Date

☐ Notarization or Legalization Page Added.

NOTE: No witnessing, notarization or legalization is necessary. If the assignment is notarized or legalized, then it will only be prima facie evidence of execution. 35 USC 261. Use next page if notarization is desired.

PLEASE
&

PLEASE
&

PLEASE
&

PLEASE

For: ☒ U.S. and/or ☒ Foreign Rights
 For: ☒ U.S. Application or
☐ U.S. Provisional Application
 For: ☐ U.S. Patent
 For: ☐ PCT Application
 By: Multiple Inventors

ASSIGNMENT OF INVENTION (MULTIPLE INVENTORS)

In consideration of the payment by ASSIGNEE to ASSIGNOR of the sum of One Dollar (\$1.00), the receipt of which is hereby acknowledged, and for other good and valuable consideration,

ASSIGNORS (Inventors):

Kimberly D. Seaman
 (type or print name of inventors)

20 Continental Drive
Phoenixville, PA 19460 USA
 Address Nationality

Melissa Go

131 Hancock Road
Warminster, PA 18974 USA

Virginia Kern

3111 Peregrine Court
Charlotte, NC 28269 USA

Louise Glass

Edmond, OK USA

hereby sells, assigns and transfers to

ASSIGNEE:

The PNC Financial Services Group, Inc..
(type or print name of ASSIGNEE)

249 Fifth Avenue
Address

(a Pennsylvania corporation)
Nationality

Pittsburgh, PA 15222

and the successors, assigns and legal representatives of the ASSIGNEE

(complete one of the following)

- ☒ the entire right, title and interest
- ☐ an undivided _____ percent (_____ %) interest for the United States and its territorial possessions

(check the following box, if foreign rights are also to be assigned)

☒ and in all foreign countries, including all rights to claim priority both in the United States and in all foreign countries, in and to any and all improvements which are disclosed in the invention entitled:
METHODS AND SYSTEMS FOR PROCESSING AND MANAGING CORPORATE ACTION INFORMATION

(check and complete (a), (b), (c), (d), (e), (f) or (g))

and which is found in

- (a) ☐ U.S. patent application executed on even date herewith
- (b) ☐ U.S. patent application executed on _____
- (c) ☐ U.S. provisional application naming the above inventor(s) for the above-entitled invention

☐ Express mail label no.: _____

Mailed: _____

- ☐ To comply with 37 CFR 3.21 for recordal of this assignment, I, an ASSIGNOR signing below, hereby authorize and request my attorney to insert below the filing date and application number when they become known.
- (d) ☒ U.S. application no.: 10/631,243 filed on July 31, 2003
- (e) ☐ International application no. PCT / _____ / _____
filed on _____
- (f) ☐ U.S. patent no. _____ issued _____

☐ A change of address to which correspondence is to be sent regarding patent maintenance fees is being sent separately.

(also check (g), if foreign application(s) is also being assigned)

- (g) ☒ and any legal equivalent thereof in a foreign country, including the right to claim priority both in the United States and in all foreign countries and, in and to, all Letters Patent to be obtained for said invention by the above application or any continuation, division, renewal, non-provisional, or substitute thereof, and as to letters patent any reissue or re-examination thereof.

ASSIGNOR hereby covenants that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this assignment;

ASSIGNOR further covenants that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said invention and said Letters Patent and legal equivalents as may be known and accessible to ASSIGNOR and will testify as to the same in any interference, litigation or proceeding related thereto and will promptly execute and deliver to ASSIGNEE or its legal representatives any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue and enforce said application, said invention and said Letters Patent and said equivalents thereof which may be necessary or desirable to carry out the purposes thereof.

IN WITNESS WHEREOF, We have hereunto set hand and seal this _____ Date of signing

WARNING: The date of signing must be the same as the date of execution of the application, if item (a) was checked above.

Kimberly D. Seaman
(type name of Inventor)

Kimberly D. Seaman 11/20/03
Signature of INVENTOR Date

Melissa Go
(type name of Inventor)

Melissa Go 11/20/03
Signature of INVENTOR Date

Virginia Kern
(type name of Inventor)

Signature of INVENTOR Date

Louise Glass
(type name of Inventor)

Signature of INVENTOR Date

☐ Notarization or Legalization Page Added.

NOTE: No witnessing, notarization or legalization is necessary. If the assignment is notarized or legalized, then it will only be prima facie evidence of execution. 35 USC 261. Use next page if notarization is desired.